



## Environmental Management Consolidated Business Center (EMCBC)

### Subject: Procurement Request Packages (PR), Including Financial Assistance

POLICY, PROCEDURE  
And PLAN

APPROVED: (Signature on File)  
EMCBC Director

#### 1.0 PURPOSE

The purpose of this procedure is to establish the general content requirements of all EMCBC PR packages greater than \$2,500.00, including financial assistance.

#### 2.0 SCOPE

The scope of this procedure is to ensure that EMCBC PR Initiators (e.g., Contracting Officer Representatives (CORs), Program/Project Managers (PMs)) are provided guidance on the general content and preparation of PR packages that involves a funding line.

#### 3.0 APPLICABILITY

All EMCBC personnel shall comply with this procedure.

#### 4.0 REQUIREMENTS AND REFERENCES

##### 4.1 Requirements:

4.1.1 Federal Acquisition Regulation (FAR)

4.1.2 Department of Energy (DOE) Acquisition Regulation (DEAR)

4.1.3 DOE Acquisition Guide

4.1.4 Code of Federal Regulation (CFR) 600, Financial Assistance Rules

##### 4.2 References:

EMCBC Implementing Procedure (IP), IP-540-16, Rev 1, Purchase Card Procedures

#### 5.0 DEFINITIONS- NOT APPLICABLE

#### 6.0 RESPONSIBILITIES

##### 6.1 PR Initiators:

6.1.1 The PR Initiator is responsible for initiating a PR package for all procurement actions, including financial assistance, that involves a funding line.

6.1.2 The PR Initiator is responsible for initiating the PR with the required documentation and will provide the fully coordinated package, either in hard copy or electronically, to the Contract Specialist (CS)/Contracting Officer (CO) for review and acceptance.

6.1.3 Although obtaining vendor quotes is the responsibility of the CS/CO, if the PR Initiator obtains quotes from the vendor, the PR Initiator is responsible for including the quotes in the PR package.

6.2 Office of Contracting (OOC) Procurement Technician (PT):

The OOC PT is responsible for providing the PR reference number to the Financial Management Officer (FMO).

6.3 CS/CO:

6.3.1 The CS/CO is responsible for reviewing the PR package for completeness and for coordinating with the PM on missing or deficient documents in the PR package.

6.3.2 The CS/CO is responsible for obtaining quotes from the vendor, however, that doesn't prohibit the PR initiator from obtaining quotes from the vendor if the need arises or the opportunity presents itself. If the PR initiator obtains quotes, the quotes will be provided with the PR package.

6.3.3 The CS/CO is responsible for executing the appropriate contract or financial assistance action in accordance with the PR package.

6.3.4 The CS/CO will provide assistance as requested by the PR initiator in development of the PR and supporting documentation.

6.4 Financial Management Officer (FMO):

6.4.1 The FMO is responsible for obtaining the PR reference number from the OOC PT.

6.4.2 The FMO is responsible for the certification of funds availability.

7.0 GENERAL INFORMATION – NOT APPLICABLE

8.0 PROCEDURE

8.1 The PR Package will contain a DOE Form 4200.33 (Attachment A, IP-540-06-F1, "Procurement Request Authorization"), the appropriate checklist (Attachment C, IP-540-06-F3, "PR Package Checklist for Simplified Acquisition", Attachment D, IP-540-06-F4, "PR Package Checklist for Contracts", or Attachment E, IP-540-06-F5, "PR Package Checklist for Financial Assistance") accurately annotated, a summary request

memo, and supporting documentation. The lists below may not be all inclusive in all situations.

8.1.1 The summary request memo will include:

8.1.1.1 Brief description of procurement

8.1.1.2 Period of performance and option years (if applicable)

8.1.1.3 Recommended special contract provisions (e.g. Government Property, classified material)

8.1.1.4 Name, organization, telephone number, and e-mail address of proposed COR and alternate

8.1.2 Supporting documentation to the summary request memo will include:

8.1.2.1 DOE Form 4200.33 – Procurement Request – certified by the FMO;

8.1.2.2 Independent Government Estimate (if applicable);

8.1.2.3 Statement of Work (SOW) or Performance Objectives will include (if applicable):

8.1.2.3.1 Description of objective;

8.1.2.3.2 Background information;

8.1.2.3.3 Technical task or project;

8.1.2.3.4 End result expected.

8.1.2.4 A description of any reporting requirements and the distribution requirements for each report (if applicable);

8.1.2.5 A description of deliverables and schedule (if applicable);

8.1.2.6 Travel and training requirements (if applicable);

8.1.2.7 Environmental, Safety and Health requirements (if applicable);

8.1.2.8 Security Clearance requirements (if applicable);

- 8.1.2.9 A list of Government Furnished Property/Equipment/Information (GFP/E/I) (if applicable); (Include nomenclature, DOE Barcode #, make, model, serial number, acquisition cost, and date of acquisition (if known). Indicate whether GFP/E/I is to be used on Government installation or removed to another location.)
- 8.1.2.10 Suggested Source List or a Justification for Other Than Full and Open Competition (JOFOC);
- 8.1.2.11 Organizational Conflicts of Interest (if applicable);
- 8.1.2.12 Recommendations for content of Industry Interactive Procurement System (IIPS) synopsis (if applicable);
- 8.1.2.13 Acquisition Plan (if applicable);
- 8.1.2.14 Intellectual Property Rights (if applicable);
- 8.1.2.15 Project or Milestone Plan (if applicable);
- 8.1.2.16 For Competitive Acquisitions/Source Selections, the PR package will include:
  - 8.1.2.16.1 Proposal Instructions
  - 8.1.2.16.2 Evaluation Factors/Criteria for Selection
  - 8.1.2.16.3 Rating Plan
  - 8.1.2.16.4 Key Personnel Evaluation Criteria
  - 8.1.2.16.5 Risk Management Criteria
  - 8.1.2.16.6 Key Considerations (if applicable)
- 8.2 Along with the information required in the summary request memo mentioned in Paragraph 8.1.1 above, supporting documentation for the Financial Assistance Package will include the following:
  - 8.2.1 DOE Form 4200.33 (Attachment A, IP-540-06-F1, "Procurement Request Authorization") certified by the FMO;
  - 8.2.2 DOE Form 4600.2 (Attachment B, IP-540-06-F2, "Federal Assistance Reporting Checklist");
  - 8.2.3 Project Management Plan (Statement of Work), including schedule or project Period;

8.2.4 Provide Merit Review Criteria, Program Policy Factors, and the Merit Review Plan;

8.2.5 If non-competitive, provide Determination of Non-Competitive Financial Assistance (DFNA);

8.2.6 Environmental, Safety and Health requirements (if applicable);

8.2.7 Intellectual Property Rights (if applicable).

## 9.0 RECORDS MAINTENANCE

9.1 IP-540-06-F1, DOE Form 4200.33, "Procurement Request Authorization"

9.2 IP-540-06-F2, DOE Form 4600.2, "Federal Assistance Reporting Checklist"

9.3 IP-540-06-F3, PR Package Checklist for Simplified Acquisition (\$2,500-\$100,000)

9.4 IP-540-06-F4, PR Package Checklist for Contracts (greater than \$100,000)

9.5 IP-540-06-F5, PR Package Checklist for Financial Assistance

## 10.0 FORMS USED

10.1 Forms used will be the latest revision unless otherwise stated.

10.1.1 IP-540-06-F1, DOE Form 4200.33, "Procurement Request Authorization"

10.1.2 IP-540-06-F2, DOE Form 4600.2, "Federal Assistance Reporting Checklist"

10.1.3 IP-540-06-F3, PR Package Checklist for Simplified Acquisition  
(\$2,500-\$100,000)

10.1.4 IP-540-06-F4, PR Package Checklist for Contracts (greater than \$100,000)

10.1.5 IP-540-06-F5, PR Package Checklist for Financial Assistance

## 11.0 ATTACHMENTS

11.1 Attachment A – IP-540-06-F1, DOE Form 4200.33, "Procurement Request Authorization"

11.2 Attachment B – IP-540-06-F2, DOE Form 4600.2, "Federal Assistance Reporting Checklist"

11.3 Attachment C – IP-540-06-F3, PR Package Checklist for Simplified Acquisition  
(\$2,500-\$100,000)

11.4 Attachment D – IP-540-06-F4, PR Package Checklist for Contracts (greater than \$100,000)

11.5 Attachment E - IP-540-06-F5, PR Package Checklist for Financial Assistance

**EMCBC RECORD OF REVISION****DOCUMENT**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the test.

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<b>Rev. No.</b>	<b>Description of Changes</b>	<b>Revision on Pages</b>	<b>Date</b>
1	Original Issue	All	09/26/06